

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

Root Cause Analysis for Auditors

5 days | Classroom training | English

SMART HORIZON

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Course content

Why attend

Audit recommendations only prevent recurrence if they address root causes, not symptoms. This course teaches auditors root cause analysis: why root causes matter, techniques such as 5 Whys, fishbone and causal factor charts, people, process and system causes, writing cause statements and designing sustainable recommendations.

Recurring findings show that causes were not fixed. You will learn to identify the real reasons behind control failures.

Professional Problems This Course Is Designed to Solve

• Difficulty translating subject knowledge into practical workplace decisions.
• Inconsistent approaches to the activities covered in the course outline.
• Lack of a structured plan for applying and reviewing new skills.

Course methodology

Technique practice on audit cases, group analysis workshops and report rewrites.

Course objectives

By the end of this course, participants will be able to:
• Explain the importance of root cause analysis in auditing
• Apply 5 Whys and fishbone techniques
• Distinguish people, process and system causes
• Analyse patterns across multiple findings
• Write clear cause statements
• Design recommendations that address root causes

Target audience

This course is suitable for:
• Internal auditors
• Quality and compliance auditors
• Audit managers
• Risk managers
• Investigators



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Target competencies

Participants will develop competencies in:

- Causal analysis
- Pattern recognition
- Cause writing
- Recommendation design
- Facilitation

Course outline

Day 1: Why Root Causes

09:00–10:08	Symptoms versus causes
10:08–11:00	Recurring findings
11:00–11:30	**Coffee break**
11:30–11:45	Recurring findings (continued)
11:45–12:53	Standards
12:53–14:00	Exercise

Day 2: Techniques

09:00–10:08	5 Whys
10:08–11:00	Fishbone diagrams
11:00–11:30	**Coffee break**
11:30–11:45	Fishbone diagrams (continued)
11:45–12:53	Causal factor charts
12:53–14:00	Practice

Day 3: Types of Causes

09:00–10:08	People, process and systems
10:08–11:00	Culture and incentives
11:00–11:30	**Coffee break**



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11:30–11:45	Culture and incentives (continued)
11:45–12:53	Pattern analysis
12:53–14:00	Workshop

Day 4: Writing Causes

09:00–10:08	Cause statements
10:08–11:00	Evidence
11:00–11:30	**Coffee break**
11:30–11:45	Evidence (continued)
11:45–12:53	Management agreement
12:53–14:00	Exercise

Day 5: Recommendations

09:00–10:08	Sustainable actions
10:08–11:00	Validation
11:00–11:30	**Coffee break**
11:30–11:45	Validation (continued)
11:45–12:53	Follow-up
12:53–14:00	Action plan

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the sessions. They are indicative only and do not constitute a binding commitment.



Course content

Dates, venues and fees

Current published course plans. Fees are per participant in GBP, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (GBP)
Rome Confirmed dates	16 Nov 2026	20 Nov 2026	**£2,450.–**
Online Confirmed dates	16 Nov 2026	20 Nov 2026	**£1,250.–**
Cape Town Confirmed dates	7 Dec 2026	11 Dec 2026	**£1,890.–**
Online Confirmed dates	7 Dec 2026	11 Dec 2026	**£1,250.–**
London Confirmed dates	11 Jan 2027	15 Jan 2027	**£2,450.–**
Online Confirmed dates	11 Jan 2027	15 Jan 2027	**£1,250.–**
Rome Confirmed dates	1 Feb 2027	5 Feb 2027	**£2,450.–**
Online Confirmed dates	1 Feb 2027	5 Feb 2027	**£1,250.–**
Amsterdam Confirmed dates	22 Feb 2027	26 Feb 2027	**£2,540.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	22 Feb 2027	26 Feb 2027	**£1,250.–**
Vienna Confirmed dates	8 Mar 2027	12 Mar 2027	**£2,940.–**
Online Confirmed dates	8 Mar 2027	12 Mar 2027	**£1,250.–**
Paris Confirmed dates	29 Mar 2027	2 Apr 2027	**£2,860.–**
Online Confirmed dates	29 Mar 2027	2 Apr 2027	**£1,250.–**
Dubai Confirmed dates	19 Apr 2027	23 Apr 2027	**£3,150.–**
Online Confirmed dates	19 Apr 2027	23 Apr 2027	**£1,250.–**
Kuala Lumpur Confirmed dates	10 May 2027	14 May 2027	**£1,450.–**
Online Confirmed dates	10 May 2027	14 May 2027	**£1,250.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Rome Confirmed dates	31 May 2027	4 Jun 2027	**£2,450.–**
Online Confirmed dates	31 May 2027	4 Jun 2027	**£1,250.–**
Cape Town Confirmed dates	14 Jun 2027	18 Jun 2027	**£1,890.–**
Online Confirmed dates	14 Jun 2027	18 Jun 2027	**£1,250.–**
Istanbul Confirmed dates	5 Jul 2027	9 Jul 2027	**£2,650.–**
Online Confirmed dates	5 Jul 2027	9 Jul 2027	**£1,250.–**
Dubai Confirmed dates	26 Jul 2027	30 Jul 2027	**£3,150.–**
Online Confirmed dates	26 Jul 2027	30 Jul 2027	**£1,250.–**
Cape Town Confirmed dates	16 Aug 2027	20 Aug 2027	**£1,890.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	16 Aug 2027	20 Aug 2027	**£1,250.-**
London Confirmed dates	6 Sept 2027	10 Sept 2027	**£2,450.-**
Online Confirmed dates	6 Sept 2027	10 Sept 2027	**£1,250.-**
Dubai Confirmed dates	20 Sept 2027	24 Sept 2027	**£3,150.-**
Online Confirmed dates	20 Sept 2027	24 Sept 2027	**£1,250.-**
Frankfurt Confirmed dates	11 Oct 2027	15 Oct 2027	**£2,650.-**
Online Confirmed dates	11 Oct 2027	15 Oct 2027	**£1,250.-**
Barcelona Confirmed dates	1 Nov 2027	5 Nov 2027	**£2,840.-**
Online Confirmed dates	1 Nov 2027	5 Nov 2027	**£1,250.-**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Vienna Confirmed dates	22 Nov 2027	26 Nov 2027	**£2,940.-**
Online Confirmed dates	22 Nov 2027	26 Nov 2027	**£1,250.-**
Barcelona Confirmed dates	13 Dec 2027	17 Dec 2027	**£2,840.-**
Online Confirmed dates	13 Dec 2027	17 Dec 2027	**£1,250.-**

Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon UK certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

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View the latest course details online